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Date of Signature  
and Deposit: August 19, 2003

  
Keith M. Baxter

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Eric P. Codner, et al.

Client Docket No. 960296.00018

Group No.: --

Serial No.: 10/602,243

Examiner: --

Filed: June 24, 2003

For: Horizontal Surface Plasmon Resonance Instrument With Improved Light Path

Attorney: Keith M. Baxter

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**INFORMATION DISCLOSURE STATEMENT PURSUANT TO 37 CFR 1.97**

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Commissioner for Patents  
Washington, D.C. 20231

Sir:

The following are submitted in the above-identified application in compliance with  
37 CFR 1.97 and 1.98:

- ☒ A list of documents on form PTO-1449 together with copies of each identified document;
- ☐ A translation or a concise explanation of each non English language document is enclosed herewith.

This paper is submitted in accordance with:

- ☒ 37 CFR 1.97(b) [within 3 months of filing or prior to 1<sup>st</sup> Office Action]
- ☐ 37 CFR 1.97(c) [before Final Office Action or Notice of Allowance]; and
- ☐ The required certification made under the heading "Certification" below;  
or

☐ The \$ \_\_\_\_\_ fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized under the heading "Authorization to Charge Fees" below.

☐ 37 CFR §1.97(d) [before issue fee payment]; and

a) This is a petition for consideration of the subject Information Disclosure Statement. The petition fee \$ \_\_\_\_\_ required by 37 CFR 1.17(i)(1) is authorized under the heading "Authorization to Charge Fees." (Direct this letter to "Attention PETITIONS EXAMINER" and if applicable include batch locator information: e.g. "Allowed Files, Batch \_\_\_\_\_, Date of Allowance \_\_\_\_\_"), and

b) The required Certification is stated under the heading "Certification" below.

☐ Certification

☐ Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or

☐ No item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.

☒ Authorization to Charge Fees

Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account 17-0055.

Respectfully submitted,

By: \_\_\_\_\_

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PTO/SB/08A (02-03)

Approved for use through 04/30/2003. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

*(Use as many sheets as necessary)*

**Complete if Known**

Application Number	10/
Filing Date	June 24, 2003
First Named Inventor	Eric P. Codner
Art Unit	
Examiner Name	
Attorney Docket Number	960296.00018

Sheet	1	of	2
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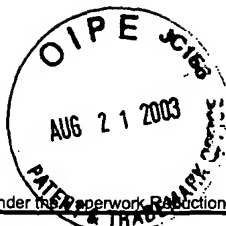
Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, Washington, DC 20231.**

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Substitute for form 1449/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 2

of

2

### Complete if Known

Application Number	10/
Filing Date	June 24, 2003
First Named Inventor	Eric P. Codner
Art Unit	
Examiner Name	
Attorney Docket Number	960296.00018

### OTHER PRIOR ART—NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	3	LYON, L. ANDREW, An Improved Surface Plasmon Resonance Imaging Apparatus, Review of Scientific Instruments, April 1999, Vol. 70, No. 4, pgs. 2076-81.	

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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